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Date June 29, 2005 Client-Matter 74622-020

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Fax Transmittal

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Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: (571)272-6748

## Message

Re: Inventor : Lawrence P. Shields, et al.  
Serial No. : 10/003,613  
Filing Date : November 2, 2001  
Title : SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK  
PLANS  
Att'y Docket : 74622-0020

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

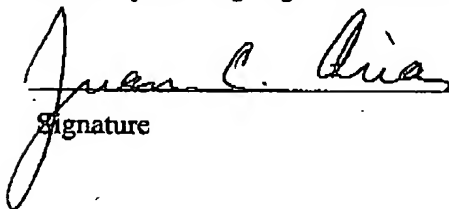
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/003,013
Filing Date	November 2, 2001
First Named Inventor	Lawrence P. Shickdo
Title	SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS
Art Unit	3624
Examiner Name	JAGDISH PATEL
Attorney Docket Number	74622-020

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Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(d) is enclosed. (Form PTO/SB/05)**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	6/22/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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**STATEMENT UNDER 37 CFR 3.73(b)****Lawrence P. Shields, et al.**

Applicant/Patent Owner: \_\_\_\_\_

Application No./Patent No.: 10/003,613 Filed/Issue Date: November 2, 2001Entitled: **SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS**

UBS Financial Services, Inc. a Corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

[Signature]  
 \_\_\_\_\_  
 Signature

Date

6/22/05

Grigg I. Goldman  
 \_\_\_\_\_  
 Printed or Typed Name

203 719 3099  
 \_\_\_\_\_  
 Telephone Number

Director and Senior Counsel, UBS Financial Services, Inc.  
 \_\_\_\_\_  
 Title

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